



Goddard Procedural Requirements (GPR)

DIRECTIVE NO.	<u>GPR 5100.1H</u>	APPROVED BY Signature:	<u><i>Original Signed By</i></u>
EFFECTIVE DATE:	<u>November 26, 2013</u>	NAME:	<u>Raymond Rubilotta</u>
EXPIRATION DATE:	<u>November 26, 2018</u>	TITLE:	<u>Director of Management Operations</u>

COMPLIANCE IS MANDATORY

Responsible Office: 210/ Procurement Operations Division

Title: Procurement

PREFACE

P.1 PURPOSE

This procedure establishes requirements for the processing of Goddard Space Flight Center (GSFC) procurements.

P.2 APPLICABILITY

This procedure is applicable to acquisitions of products or services within the scope of the GSFC Management System.

P.3 AUTHORITY

NPD 1280.1, NASA Integrated Management System Policy

48 .F.R., Federal Acquisition Regulation (FAR)

NASA Federal Acquisition Regulation Supplement (NASA/FAR Supplement)

P.4 REFERENCES

- a. NPD 1210.2 NASA Surveys, Audits, and Reviews Policy
- b. NPD 5101.32, Procurement, Grants, and Cooperative Agreements
- c. [NPD 8730.1](#), Metrology and Calibration
- d. [NPD 8730.5](#), NASA Quality Assurance Program Policy
- e. [NPR 5800.1](#), Grant and Cooperative Agreement Handbook
- f. [NPR 6000.1](#), Requirements for Packaging Handling and Transportation of Aeronautical and Space Systems, Equipment and Associated Components
- g. [NPR 7120.5](#), NASA Space Flight Program and Project Management Requirements
- h. GPR 5340.2, Documentation and Control of Process Non-Conformances and Customer Complaints
- i. [GPR 5100.2](#), Supplier Performance Evaluations
- j. [GPR 5100.3](#), Quality Assurance Letter of Delegation
- k. [GPR 5100.4](#), GSFC Supplier Assessment Process
- l. GPR 5100.5, Government Cost Estimates for Acquisitions Exceeding the Micro-purchase Threshold
- m. [GPR 5340.2](#), Documentation and Control of Process Non-Conformances and Customer Complaints
- n. [GPR 7120.4](#), Risk Management

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

- o. [GPR 8730.1](#), Calibration and Metrology
- p. NASA Form 1707, Special Approvals and Affirmations of Requisitions
- q. Department of Defense Form DD250, Material Inspection and Receiving Report

P.5 CANCELLATION

GPR 5100.1G, Procurement

P.6 SAFETY

None

P.7 TRAINING

None

P.8 RECORDS

Record Title	Record Custodian	Retention
Contract file records as specified in FAR Part 4.8, Government Contract Files	Contract Specialist/Contracting Officer (CS/CO)	For contract actions less than \$150K and all construction contracts at or less than \$2K: *NRRS 5/1A1b- Destroy 3 years after final payment. For contract actions greater than \$150K and all construction contracts greater than \$2K: *NRRS 5/1A1a- Destroy 6 years and 3 months after final payment.
Inspection and Receiving Acceptance Document	Central Receiving or, for direct delivery, the CO's Representative (COR)	*NRRS 5/1A1b, 5/1A1a

* NRRS – NASA Records Retention Schedule ([NPR 1441.1](#))

P.9 MEASUREMENT/VERIFICATION

The NASA Headquarters Office of Procurement conducts procurement management reviews at GSFC every 2 years under the authority of NPD 1210.2 NASA Surveys, Audits, and Reviews Policy. Additionally, the GSFC Procurement Operations Division conducts self-assessments approximately every 6 months except for those periods when a NASA Headquarters Office of Procurement Management Review has been conducted.

PROCEDURES

In this document, a requirement is identified by “shall,” a good practice by “should,” permission by “may” or “can,” expectation by “will,” and descriptive material by “is.”

Purchasing is accomplished by following the policies and procedures in the FAR and NASA FAR Supplement (NFS). Purchasing is accomplished in four major phases:

1. Pre-solicitation
2. Solicitation and Award
3. Administration
4. Contract Closeout

Responsibilities of the organizations and personnel involved vary with each phase.

1. Pre-Solicitation

1.1 Initiator Responsibilities

Initiators are encouraged to seek guidance from procurement professionals in Code 210 Procurement Operations Division (POD) during acquisition planning. Before submitting the purchase request package to Code 210 POD, the initiator is responsible for ensuring that all required associated documentation is provided. Initiator responsibilities also include all of the following:

- a. Identify the need for a product or service and determine whether the need can be satisfied through an existing contract or a required source of supply. Refer to FAR Part 8, Required Sources of Supplies or Services and NFS Part 1808.
- b. Perform market research to determine the availability of a commercial product and potential sources of supply. Refer to FAR Part 10, Market Research. When performing market research, it is recommended that the initiator check the performance history of vendors in the Receiving Inspection and Test System (RITS) and check for non-conformances in the Audit/Nonconformance Reporting (Audit/NCR) System.
- c. Develop the description of the requirements. This should include a Statement of Work (SOW), specifications, Mission Assurance Requirements (MAR), or other requirements descriptions relevant to the product or service that is to be procured. Refer to FAR Part 11, Describing Agency Needs, and NFS Part 1811.
- d. Participate in acquisition planning as requested by the CS/CO. Refer to FAR Part 7, Acquisition Planning, and NFS 1807.

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- e. Ensure that safety hazards are identified, that transportation packaging requirements (see NPR 6000.1) are addressed, and that any environmental and safety issues have been discussed with the Safety and Environmental Division.
- f. Complete NASA Form 1707, Special Approvals and Affirmations of Requisitions, in accordance with NFS Subpart 1804.73.
- g. Determine and specify the extent of government contract quality assurance and mission assurance requirements, as applicable, to be specified based on the complexity of requirements, demonstrated capability of the supplier, records of previous performances, and other factors. Refer to FAR Subpart 46.4 Government Contract Quality Assurance, NFS Subpart 1846.4, and other relevant NASA and GSFC directives, as applicable. Note that NPD 8730.5 requires, under certain circumstances, the establishment of Government Mandatory Inspection Points (GMIP). Complete NASA Form 1707 Section 8 to indicate whether or not an approved MAR is required. If a MAR is required, indicate by checking the block "Approvals For Special Items Are Attached" and include the approved MAR as part of the procurement request package. If a MAR is not required, check the appropriate block in Section 8 indicating whether any other special approvals are/are not required, and indicate in section 8 of the form (handwritten note is acceptable) that "A Mission Assurance Requirements (MAR) document is not required for this action."

Identify in the procurement request package and with support from the Center Safety and Mission Assurance Directorate, the title, number, and issue of the quality system requirements or a full description of same. Refer to FAR Subpart 46.2, Contract Quality Requirements, and NPD 8730.5, to determine the minimum appropriate quality system requirements commensurate with the procured product or service. The initiator is responsible for ensuring that all requirements included in the purchase request package for spacecraft, space flight instruments, or their constituent hardware subassemblies, assemblies, components, subsystems and systems shall cite the appropriate, applicable quality system requirements mandated by NPD 8730.5. The initiator is responsible for ensuring that all requirements included in the purchase request package for calibration (metrology) services cite the appropriate calibration laboratory requirements mandated by NPD 8730.1 and GPR 8730.1.

- h. For acquisitions subject to NPR 7120.5 and GPR 7120.4, identify, categorize, and establish a mitigation strategy for the particular acquisition and coordinate with the Reliability and Risk Analysis Branch, Code 322. For acquisitions not subject to NPR 7120.5, identify any acquisition risks as requested by the CS/CO.
- i. Prepare a purchase requisition. Before submitting the purchase requisition to the appropriate officials for review and approval, ensure that the supporting documentation (e.g., in-house estimate IAW GPR 5100.5, statements of work/specifications, Mission Assurance Requirements (MAR) document, or draft Justification for Other than Full and Open Competition) and any required directorate approvals (such as the GSFC Office of the Chief Financial Officer (OCFO), SMA Directorate, or the NASA Headquarters Office of Safety and Mission Assurance (OSMA)) are complete.

- j. For Government Credit Card Purchases, FAR 13.301 authorizes CS/COs and other designated individuals to make purchases using a commercial purchase card. The card may be used only for purchases that are otherwise authorized by law or regulation. The Procurement Operations Division, Code 210, administers the Center-wide credit card program that authorizes non-procurement personnel to use a Government credit card to purchase items. The credit card is issued by name to a Government employee, who is the only one who can use the card. Individual purchases are limited to the “micro-purchase threshold,” as defined in FAR 2.101. Cardholders are responsible for the documentation of charges; assurance of the availability of funding for payment of charges; resolution of discrepancies of charges; and the prompt reconciliation of monthly cardholder statement of transactions. More information, including Cardholder procedures, is available on the GSFC Procurement Services Webpage at <http://code210.gsfc.nasa.gov/podserv.htm>.
- k. For grants and cooperative agreements, see NPR 5800.1 for instructions.

1.2 Contract Specialist/Contracting Officer Responsibilities

- a. Upon receipt of a purchase request package, the cognizant Code 210 POD procurement office shall assign a CS/CO. The CS/CO is responsible for conducting and managing the purchasing process.
- b. The CS/CO shall ensure that all purchase requests are complete and adequately define the requirement. If necessary, the CS/CO should request additional information and documentation or may return the purchase request to the initiator for any additional information that is required to complete the purchase request.
- c. The CS/CO shall conduct appropriate acquisition planning. Refer to FAR Part 7, Acquisition Planning and NFS Part 1807. On larger and more complex procurements this activity will commence with the initiator and the initiator’s organization in advance of receipt of the purchase request. Regardless of whether a formal acquisition plan is required, the CS/CO must decide what FAR and NFS acquisition process will be followed, select a contract type in accordance with FAR Part 16 and NFS 1816, and prepare a source selection methodology.
- d. Publicize acquisitions valued at \$25,000 and above in accordance with FAR Part 5, Publicizing Procurement Actions, and NFS 1805.
- e. Prepare the necessary pre-solicitation documentation and obtain any needed approvals.
- f. Prepare and issue the solicitation. A draft solicitation is required by NFS 1815.201 in some cases.

2. Solicitation and Award

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2.1 Initiator Responsibilities

At the direction of the CS/CO or the Source Evaluation Board (if appointed), assist in the evaluation of offers received and any discussions with offerors that may be conducted by the CS/CO. This assistance may include presentations to the Source Selection Authority (SSA).

2.2 Contract Specialist/Contracting Officer Responsibilities

- a. Receive, secure and maintain responses to solicitations.
- b. Determine offeror responsibility and coordinate and/or conduct the evaluation of received offers. This may include presentations to the SSA if the SSA is not the CS/CO.
- c. Prepare source selection statement and approve or obtain approval.
- d. Publicize/announce the selected source in accordance with FAR Part 5 and NFS Part 1805.
- e. Ensure that offeror-submitted plans, including any Safety and Health Plans, have been reviewed by the GSFC organizations that have cognizance over the subject matter of the plans.
- f. Obtain necessary approvals and award the contract.
- g. Prepare and maintain, as part of the official contract file, the records required by FAR Subpart 4.8.

3. Contract Administration

3.1 Contract Specialist/Contracting Officer Responsibilities

The CS/CO shall manage and monitor contractor performance in accordance with FAR Part 42, Contract Administration and Audit Services, and NFS Part 1842. Examples of the CS/CO's authorities and responsibilities for contract administration include:

- a. Ensure that contract statement of work, specifications, deliverables and other terms and conditions are complied with by the contractor. For Simplified Acquisitions, receipt is documented on-line with the R&I Acceptance Document. For other than Simplified Acquisitions, a Form DD250 is normally used to document receipt. A copy is retained in the Official Contract File as a record.
- b. Make changes or modify the contract and its requirements consistent with NASA or requiring organization requests, program authority, and as permitted by the contract terms, regulation and law, and ensure the availability of funds.
- c. Delegate authority to others for contract administration as appropriate and permitted by FAR and NFS Subparts 42. This includes appointment of a COR as stated in NFS 1842.270.

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- d. With the assistance of the COR, provide inputs to the Supplier Performance Records in accordance with GPR 5100.2 and FAR 42.15.

3.2 Contracting Officer Representative Responsibilities

- a. The COR shall review the contract, including the SOW and any product or service specifications or other requirements documents, to ascertain whether the products or services require government source inspection. When required, the COR in coordination with the Quality Assurance Representative, is responsible for developing a letter of delegation for government source inspection detailing the required levels of inspection (see GPR 5100.3). The COR is responsible for oversight of the delegated functions and coordinate supplier audits. This is accomplished through the CS/CO and the Audit Coordinator, in accordance with GPR 5100.4.
- b. Personnel that monitor contractor performance are responsible for reporting any performance discrepancies or problems to the CS/CO and for documenting the non-conformances in the Audit/NCR system (see GPR 5340.2). When a nonconforming product is received, corrective action should be taken in accordance with GPR 5340.2. Where corrective action is needed, the COR shall provide the CS/CO with a recommendation as to what action should be taken. Only the CS/CO or authorized representative may require a contractor to take corrective action.
- c. The COR shall provide inputs to the Supplier Performance Records in accordance with GPR 5100.2.
- d. The COR shall evaluate any contractor proposals or claims associated with contract administration as requested by the CS/CO.

4. Contract Closeout

4.1 When closing out the contract files, the CS/CO shall use the closeout procedures at FAR 4.804-5. The CS/CO is responsible for initiating closeout of the contract after receiving evidence of its physical completion. The CS/CO is responsible for obtaining from the COR, and others involved in administering the contract, documentation that all deliverables have been received and accepted in accordance with the contract terms and that all issues are resolved. With the assistance of the COR, the CS/CO provides, prepares, and maintains records in accordance with GPR 5100.2.

4.2 General time standards for closing out contract files are as follows:

- a. Contracts using simplified acquisition procedures should be considered closed when the CS/CO receives evidence of receipt of property and final payment.
- b. Firm-fixed-price contracts, other than those using simplified acquisition procedures, should be closed within 6 months after the date on which the CS/CO receives evidence of physical completion.
- c. Contracts requiring settlement of indirect cost rates should be closed within 36 months of the month in which the CS/CO receives evidence of physical completion.

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- d. All other contracts should be closed within 20 months of the month in which the CS/CO receives evidence of physical completion.

APPENDIX A – Definitions

- A.1 Contract – Refer to FAR 2.101(b).
- A.2 Contracting Officer (CO) – Refer to FAR 2.101(b).
- A.3 Contract Specialist (CS) – A person who performs procurement functions under the direction of the CO. However, the CO has the ultimate responsibility for the procurement process.
- A.4 Contracting Officer’s Representative (COR) – A person exercising authority and responsibility delegated by the CO. This individual represents the CO in the daily surveillance of the contractor, and provides overall technical management of the contract.
- A.5 Contractor – Anyone providing products or services to GSFC under a contract.
- A.6 Initiator – The person within the requiring organization who is responsible for initiating the purchase request, and is supported or assisted by the requiring organization in accomplishing the responsibilities in this GPR.
- A.7 Offer – Refer to FAR 2.101(b).
- A.8 Offeror – Refer to FAR 2.101(b).

APPENDIX B - Acronyms

CO	Contracting Officer
COR	Contracting Officer's Representative
CS	Contract Specialist
FAR	Federal Acquisition Regulation
GMIP	Government Mandatory Inspection Points
GPD	Goddard Policy Directive
GPG	Goddard Procedures and Guidelines
GPR	Goddard Procedural Requirements
GSFC	Goddard Space Flight Center
IEMP	Integrated Enterprise Management Program
MAR	Mission Assurance Requirements
NCR	Nonconformance Report
Audit/NCR	Audit/Nonconformance Reporting
NFS	NASA Federal Acquisition Regulation Supplement
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
NRRS	NASA Records Retention Schedules
OSMA	Office of Safety and Mission Assurance
POD	Procurement Operations Division
R&I	Receipt and Issue
RITS	Receiving Inspection and Test System
SAP	Systems Applications and Products and Data Processing System
SMA-D	Safety and Mission Assurance Directorate
SOW	Statement of Work
SSA	Source Selection Authority

CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	08/12/98	Initial Release
A	05/26/99	Update and further explanation of FAR references. Minor revisions as a result of center review. Minor revisions resulting from Centerwide review. Government Purchase Card Procedures added as attachment
B	03/02/00	Correction of errors in the records table Moved Change History Log to last page of document
C	11/09/00	Section 2.3.1.3 is revised to clarify receiving documentation Attachment - Government Credit Card Procedures deleted. Location of procedures is referenced in 2.1.4.1
D	06/06/03	Updated GPG to comply with most recent format requirements by adding Preface paragraphs for Safety, Training, and Metrics, and moving Definitions to the Preface. Added reference to NPG 6000.1 Retention requirements updated Revision cancels GMI 5310.2F Added definitions P.10.c, P.10.i and P.10.j Clarified the meaning of offer for an IFB and RFP, P.10.f Removed reference in P.10 to FAR Section 2.101(h); added current reference FAR 2.101(b) Added safety information under 1.1.e Added introductory paragraph to Section 1.2 for Contract Specialist/Contracting Officer Responsibilities Added Section 1.2.k regarding delegation of contract administration duties Added Section 2.1.3 Section 2.1.4 is revised to add guidance regarding the approval cycle for GSFC Form 18-27 Added Section 2.2.7 regarding Safety and Health Plans Revised Procurement Flowchart 1 of 2 to clarify the initiator's role

E	12/14/04	<ul style="list-style-type: none"> • Updated references in P.4 • Substituted IFMP SAP as method for submitting a purchase request. • Added coordination with the Rules and Processes Office, Code 171. • Deleted flow charts. • Deleted text that duplicated or paraphrased the FAR and the NFS. • Reorganized text so that all subjects are addressed within one of the 4 major phases. • Revised Records Retention to refer to FAR 4.8
F	03/14/07	<ul style="list-style-type: none"> • Revised Section 1.1.F to address: <ul style="list-style-type: none"> ○ Government Mandatory Inspection Points (GMIP) that are sometimes established by NPD 8730.5 ○ that PR Initiators are to identify the number, title, and issue of the pertinent quality system requirements or else include a full description, ○ Required that FAR Subpart 46.2, Contract Quality Requirements, and NPD 8730.5, be referred to determine the minimum appropriate quality system requirements commensurate with the procured product or service. ○ Required that AS9100 be included in the applicable quality system requirements in procurements for spacecraft, space flight instruments, or their constituent hardware subassemblies, assemblies, components, subsystems and systems. ○ Required that all procurements for calibration (metrology) services shall cite the appropriate calibration requirements mandated by NPD 8730.1 and GPR 8730.1 as the applicable calibration laboratory requirements. • Expanded Paragraph 1.1.G to include the requirement for calibration (metrology) services". • Added minor edits to 1.2.C to clarify the meaning better. • Added minor spacing changes in several locations.
G	5/01/2012	<ul style="list-style-type: none"> • Updated the GPR to include use of the new GPR Template dated 02/10 • Updated section P.4 REFERENCES to add NPD 5101.32

		<p>and 5100.4, and update the title of NPR 7120.5</p> <ul style="list-style-type: none"> Revised narrative under P.9 MEASUREMENT/VERIFICATION to correct the reference for conducting NASA HQs Procurement Management Reviews and change the terms “surveys” to “reviews” Moved the “DEFINITIONS” section as Appendix A, based on the new GPR Template format Made the following changes to the narratives in 1.1 Initiator Responsibilities under the “PROCEDURES” section:(1) in paragraph e., updated the title of the NF 1707 form; (2) in paragraph f., clarified the responsibilities of the PR Initiator to include the applicable quality assurance and calibration (metrology) requirements in the acquisition package; (3) deleted paragraph g; (4) in paragraph h., updated the office reference and code for coordinating risk mitigation strategies; (5) in paragraph i., clarified that individual purchases made with purchase cards cannot exceed the micro-purchase threshold; (6) in paragraph i., updated the url reference for Cardholder procedures. Added the “ACRONYMS” section as Appendix B.
H	11/26/2013	<ul style="list-style-type: none"> Made corrections to document titles in sections P.3 and P.4 Corrected Retention times included in the table in section P.8 Replaced “COTR” with “COR” based on FAR change Revised paragraphs (c), (f), and (g) of section 1.1 to include specific reference to the MAR document and completion of section 8 of the NF1707 form. Revised paragraph “i.” of section 1.1 to remove references to IEMP and SAP systems. Corrected/updated various references to other NASA and GSFC directives/documents. Made various editorial/administrative changes as needed